



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

## BIB DATA SHEET

CONFIRMATION NO. 6173

| SERIAL NUMBER | FILING or 371(c)<br>DATE | CLASS | GROUP ART UNIT | ATTORNEY DOCKET<br>NO. |
|---------------|--------------------------|-------|----------------|------------------------|
| 09/716,189    | 11/17/2000<br>RULE       | 705   | 3692           | DT-3788                |

**APPLICANTS**  
 James MacPherson, COS COB, CT;

**\*\* CONTINUING DATA \*\*\*\*\***  
 This appln claims benefit of 60/166,558 11/19/1999

**\*\* FOREIGN APPLICATIONS \*\*\*\*\***

**\*\* IF REQUIRED, FOREIGN FILING LICENSE GRANTED \*\***  
 02/06/2001

|  |   |                                   |                                  |                               |                                    |
|--|---|-----------------------------------|----------------------------------|-------------------------------|------------------------------------|
| Foreign Priority claimed<br><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                  | <input type="checkbox"/> Met after<br>Allowance<br>cg | <b>STATE OR<br/>COUNTRY</b><br>CT | <b>SHEETS<br/>DRAWINGS</b><br>13 | <b>TOTAL<br/>CLAIMS</b><br>45 | <b>INDEPENDENT<br/>CLAIMS</b><br>3 |
| 35 USC 119(a-d) conditions met<br>Verified and /CLEMENT B<br>GRAHAM/<br>Acknowledged <u>Examiner's Signature</u> |   |                                   |                                  |                               |                                    |

**ADDRESS**  
 DAVID TOREN, ESQ.  
 ABELMAN FRAYNE & SCHWAB  
 666 THIRD AVENUE  
 NEW YORK, NY 10017-5621  
 UNITED STATES

**TITLE**  
 System and methods for trading mutual funds

|  |   |   |
|--|---|---|
| <b>FILING FEE<br/>RECEIVED</b><br>1466 | FEES: Authority has been given in Paper<br>No. _____ to charge/credit DEPOSIT ACCOUNT<br>No. _____ for following: | <input type="checkbox"/> All Fees<br><input type="checkbox"/> 1.16 Fees (Filing)<br><input type="checkbox"/> 1.17 Fees (Processing Ext. of time)<br><input type="checkbox"/> 1.18 Fees (Issue)<br><input type="checkbox"/> Other _____<br><input type="checkbox"/> Credit |
|--|---|---|